



2132  
#17

PTO/SB/21 (03-03)  
Approved for use through 04/30/2003. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |                        |                       |
|---|------------------------|-----------------------|
| <b>TRANSMITTAL FORM</b><br><br>(to be used for all correspondence after initial filing) | Application Number     | 09/923,179            |
|   | Filing Date            | August 6, 2001        |
|   | First Named Inventor   | Lynn H. WHEELER et al |
|   | Art Unit               | 2132                  |
|   | Examiner Name          | Kambiz Zand           |
| Total Number of Pages in This Submission  | Attorney Docket Number | 10399-34382           |

**RECEIVED**  
**AUG 19 2003**

Technology Center 2100

| ENCLOSURES (Check all that apply)  |   |   |
|--|---|---|
| <input type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Drawing(s)                                       | <input type="checkbox"/> After Allowance Communication to a Technology Center (TC)      |
| <input type="checkbox"/> Fee Attached  | <input type="checkbox"/> Licensing-related Papers                         | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences     |
| <input type="checkbox"/> Amendment/Reply                                     | <input type="checkbox"/> Petition   | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> Power of Attorney, Revocation                    | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Change of Correspondence Address                 | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):         |
| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Terminal Disclaimer                              | PTO/SB08A (4 pages); itemized postcard  |
| <input checked="" type="checkbox"/> Information Disclosure Statement         | <input type="checkbox"/> Request for Refund                               |   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)              | <input type="checkbox"/> CD, Number of CD(s) _____                        |   |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application    | Remarks   |   |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |   |

**RECEIVED**  
**AUG 20 2003**

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

|                    |  |
|--------------------|--|
| Firm or Individual | Chad D. TILLMAN<br>MORRIS, MANNING & MARTIN, LLP |
| Signature          | <i>Chad D. Tillman</i>                           |
| Date               | <i>Aug. 14, 2003</i>                             |

**CERTIFICATE OF TRANSMISSION/MAILING**

|  |                           |      |  |
|--|---------------------------|------|--|
| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: _____ |                           |      |  |
| Typed or printed   | Elizabeth Herbener        |      |  |
| Signature  | <i>Elizabeth Herbener</i> | Date |  |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



#17

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re U.S. Patent Application of: )  
)  
Serial No. 09/923,179 ) Art Unit: 2132  
)  
Filed August 6, 2001 )  
)  
For: Account-Based Digital Signature ) Examiner: Kambiz Zand  
(ABDS) )  
)  
Docket No. 10399-34383 )

**RECEIVED**

AUG 19 2003

Technology Center 2100

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

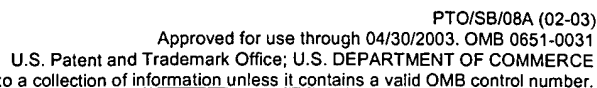
In compliance with the Applicant's duty of disclosure under 37 CFR §1.56, Applicant brings the attached document or documents cited on the attached form PTO/SB/08 to the attention of the U.S. Patent and Trademark Office in accordance with the provisions of 37 CFR §1.97-98.

Nothing herein—including the submission of the documents themselves, whether in this or any other filing—constitutes an admission by Applicant that any of the documents is prior art with respect to the present invention, or a waiver of any rights of Applicant. Indeed, while each citation includes a date, it should be understood that, whether expressly stated or not, the date specified in the citation is a date as alleged by the document or otherwise, and Applicant neither admits nor denies the correctness of the specified date at this time. Moreover, with regard to non-patent documents, Applicant neither admits nor denies that each document submitted is, in fact, a "publication" within the meaning of 35 U.S.C. §102.

Respectfully submitted,

*Chad D. Tillman*

Chad D. Tillman  
U.S. Reg. No. 38,634  
MORRIS, MANNING & MARTIN, L.L.P.  
6000 Fairview Road, Suite 1125  
Charlotte, NC 28210  
Telephone (704) 554-7070  
Fax (704) 556-9554



Substitute for form 1449/PTO

*(Use as many sheets as necessary)*

**Complete if Known**

|                        |                |
|------------------------|----------------|
| Application Number     | 09/923,179     |
| Filing Date            | 08/06/2001     |
| First Named Inventor   | WHEELER et al. |
| Art Unit               | 2132           |
| Examiner Name          |                |
| Attorney Docket Number | 10399-34382    |

|       |   |    |   |
|-------|---|----|---|
| Sheet | 1 | of | 4 |
|-------|---|----|---|

## U. S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

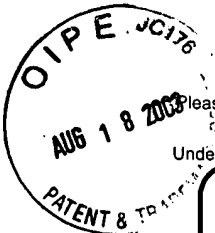
[illegible]

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.<sup>1</sup> Applicant's unique citation designation number (optional).<sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04.<sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.<sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.<sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Please type a plus sign (+) inside this box → ☐

PTO/SB/08B (10-96)  
Approved for use through 10/31/99. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.



|  |   |                          |                |                        |             |
|--|---|--------------------------|----------------|------------------------|-------------|
| <b>Substitute for form 1449B/PTO</b><br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(use as many sheets as necessary)</i> |   | <b>Complete if Known</b> |                |                        |             |
|  |   | Application Number       | 09/923,179     |                        |             |
|  |   | Filing Date              | 08/06/2001     |                        |             |
|  |   | First Named Inventor     | Wheeler et al. |                        |             |
|  |   | Group Art Unit           | 2132           |                        |             |
|  |   | Examiner Name            |                |                        |             |
| Sheet  | 2 | of                       | 4              | Attorney Docket Number | 10399-34382 |

| OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS |                          |   |                |
|--|--------------------------|---|----------------|
| Examiner<br>Initials*                              | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.   | T <sup>2</sup> |
|  | 1                        | PKCS #9, Selected Object Classes and Attribute Types Version 2.0, RSA Laboratories, Redwood City, CA, pp 1-42   |                |
|  | 2                        | Digital Signature Guidelines Tutorial ; ABA Network, (web site at <a href="http://www.abanet.org/scitech/ec/isc/dsg-tutorial.html">http://www.abanet.org/scitech/ec/isc/dsg-tutorial.html</a> ), date of capture 2/18/2003, pp 1-7  |                |
|  | 3                        | GERCK, Ed, Overview of Certification Ssystems: x.509, PKIX, CA, PGP & SKIP - Do you understand digital certificates? Do you know what they warrant? July 18, 2000; pp. 1-18   |                |
|  | 4                        | LINN, John, Trust Models and Management in Public-Key Infrastructures; RSA Laboratories, November 6, 2000, pp 1-13  |                |
|  | 5                        | PKCS #5, v2.0: Password-Based Cryptography Standard, RSA Laboratories, Redwood City, CA; March 25, 1999; pp 1-30  |                |
|  | 6                        | PKCS #9, v2.0: Selected Object Classes and Attribute Types, RSA Laboratories, Redwood City, CA; February 25, 2000; pp. 1-34   |                |
|  | 7                        | PKCS #10, v1.7: Certificate Request Syntax Standard, RSA Laboratories, Redwood City, CA; May 26, 2000; pp. 1-10   |                |
|  | 8                        | PCKS #12, v1.0: Personal Information Exchange Syntax, RSA Laboratories, Redwood City, CA; June 24, 1999; pp. 1-23   |                |
|  | 9                        | PCKS #15: Conformance Profile Specification; RSA Laboratories, Redwood City, CA; August 1, 2000; pp 1-8   |                |
|  | 10                       | PEPE, Michel; Smart Cards Gaining Traction; CRN.com - Point of Sale: Trends, Markets and Technologies; December 31, 2002, (web site at <a href="http://crn.channelsupersearch.com/news/crn/39163.asp">http://crn.channelsupersearch.com/news/crn/39163.asp</a> ) captured on February 18, 2003; pp. 1-2 |                |
|  | 11                       | Guide to Internet Security; Public Key Cryptography (web site at <a href="http://www.e-certify.com/library/pkc_guide.htm">http://www.e-certify.com/library/pkc_guide.htm</a> ) captured on February 18, 2003  |                |

RECEIVED

AUG 19 2003

Technology Center 2100

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



OIPE JC178  
 AUG 18 2003  
 PATENT & TRADEMARK OFFICE

Please type a plus sign (+) inside this box → +

PTO/SB/08B (10-96)  
 Approved for use through 10/31/99. OMB 0651-0031  
 Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
 Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

+

|   |   |                      |                |                          |             |
|---|---|----------------------|----------------|--------------------------|-------------|
| Substitute for form 1449B/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(use as many sheets as necessary)</i> |   |                      |                | <b>Complete if Known</b> |             |
|   |   | Application Number   | 09/923,213     |                          |             |
|   |   | Filing Date          | 08/06/2001     |                          |             |
|   |   | First Named Inventor | Wheeler et al. |                          |             |
|   |   | Group Art Unit       | 2132           |                          |             |
|   |   | Examiner Name        |                |                          |             |
| Sheet   | 3 | of                   | 4              | Attorney Docket Number   | 10399-34384 |

| OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS |                       |  |                |
|--|-----------------------|--|----------------|
| Examiner Initials*                                 | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.                | T <sup>2</sup> |
|  | 12                    | Private Server Product Description; (web site at <a href="http://www.bnn.com.tr/assets/cserver_prodesc.html">http://www.bnn.com.tr/assets/cserver_prodesc.html</a> ), date of capture 2/18/2003; pp 1-11   |                |
|  | 13                    | Cylink atm encryptor (web site at <a href="http://securitytools.hypermart.net/security_1/cylink_atm_encryptor.html">http://securitytools.hypermart.net/security_1/cylink_atm_encryptor.html</a> ), date of capture 2/18/2003, p1   |                |
|  | 14                    | BAL's PGP Pubic Key Server; The Computer Law Resource 1996; (web site at <a href="http://www.complaw.com/pgp/webkeyserver.html">http://www.complaw.com/pgp/webkeyserver.html</a> ) date of capture 2/18/2003; pp 1-2   |                |
|  | 15                    | Baltimore; Solutions; A New Era in Secure and Trusted E-Business; (web site at <a href="http://www.baltimore.com/solutions/index.asp">http://www.baltimore.com/solutions/index.asp</a> ) date of capture 2/18/2003; p 1  |                |
|  | 16                    | (PGP) Pretty Good Privacy; What's? com; December 27, 2000; (web site at <a href="http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,214292,00.html">http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,214292,00.html</a> ) date of capture 12/27/2000; pp 1-3 |                |
|  | 17                    | An Introduction to Cryptography; Network Associates, Inc. PGP, Version 6.5.1; June 1999; pp. 1-88  |                |
|  | 18                    | TURNBILL, Jim; "Cross-Certification and PKI Policy Networking"; Entrust, Inc; August 2000; pp 1-10   |                |
|  | 19                    | Some Suggestions for Automatic Encryption and Identity Verification in the IBM Internal Computing Network; December 28, 1985; pp 1-13  |                |
|  | 20                    | ARTHUR, Dwight; AADS Option for Buyer Authentication; Response to NACHA/IC ANT 2 RFI; September 14, 1998; pp 1-3   |                |
|  | 21                    | Internet Counsel; Consumer Internet Purchases Using ATM Cards Successfully Processed by NACHA Pilot Participants; February 23, 2003; pp 1-4  |                |
|  | 22                    | Internet Counsel; NACHA to Test ATM Card Payments for Consumer Internet PUrchases; February 23, 2003; pp 1-3   |                |

RECEIVED

AUG 19 2003

Technology Center 2100

|                    |                 |
|--------------------|-----------------|
| Examiner Signature | Date Considered |
|--------------------|-----------------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

+

